

**Upper Tribunal
(Tax and Chancery Chamber)**

Office stamp
(date received)

**Reference notice
(Financial Services)**

Use this form to make a reference or appeal to the Upper Tribunal disputing a decision of the Financial Conduct Authority, the Prudential Regulation Authority, the Pensions Regulator, the Bank of England or an Independent Valuer under the Banking (Special Provisions) Act 2008 (BSPA) or the Banking Act 2009 (BA).

Please Use black ink and complete the form in **CAPITALS** or in typewriting.
Use another sheet of paper if there is not enough space for you to say everything.
Please put your full name at the top of any additional sheets.

A Type of decision being referred (we use 'refer' and 'reference' to include 'appeal')

Please specify, by ticking the appropriate box, whether your reference relates to a decision by:

The Financial Conduct Authority ☐

The Pensions Regulator ☐

The Bank of England ☐

An Independent Valuer ☐

The Prudential Regulation Authority ☐

B About the applicant

Are you the person to whom the decision was addressed? (Tick one box only)

Person to whom decision was ☐

Person affected by decision ☐

Title Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Surname, or name
of company, firm or
organisation

Other names

Address

Postcode

Telephone number

Email address

Do you have a solicitor or other representative?

No ☐

Yes ☐

If yes please give your representative's details below

Name of
representative

Status (solicitor, barrister etc.)

Organisation
(if any)

Address

Postcode

Telephone number

Email address

Reference number
(if any)

C

About the respondent's decision

By "Respondent" we mean the body or person which made the decision you are referring to the Upper Tribunal. Please give details of the decision below.

What was the date of the decision?

What was the respondent's reference number?
(This will be on all correspondence.)

D

Late applications

Are you making your application to the Upper Tribunal out of time
(ie more than 28 days after the date of the decision)?

No ☐

Yes ☐

If the answer is "yes", please apply for an extension of time by giving your reasons for the delay, and any other reason why you think you should be given an extension, here

(Cont on next page)

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E

Reasons for referring the decision to the Upper Tribunal

Please state why you are referring the decision to the Upper Tribunal. You should also state what decision you think should have been made.

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F

**Supplementary applications. Complete this box only if it is necessary in your case.
(Use additional sheets of paper if necessary).**

☐

I apply for a direction that, although I am not a person to whom the decision is addressed, I may be permitted to refer the matter to the Upper Tribunal as I am affected by the notice because:

☐

I apply for a direction suspending the effect of the decision on the following grounds:

☐

I apply for a direction that the Register contain no particulars of the Reference on the following grounds:

☐

I am referring a Financial Conduct Authority decision imposing a penalty for market abuse and I apply for the legal assistance regarding this Reference

☐

Other applications

I believe (the applicant believes) that the facts stated in this notice are true.

I **authorise** my representative named in **Part A** above to act on my behalf in all proceedings before the Upper Tribunal.*

(* Delete if you have no representative or you are a solicitor filling in this form on behalf of a client)

Applicant or representative
signature

Date

After you have filled in the form please send it to the address below:

Upper Tribunal (Tax and Chancery Chamber)
Fifth Floor
Rolls Building
Fetter Lane
London
EC4A 1NL

DX: 160042 Strand 4

If you live in Scotland you may send the form to the London office or you may send it to:

The Upper Tribunal (Tax and Chancery Chamber)
George House
126 George Street
Edinburgh
EH2 4HH

You MUST enclose a copy of the decision issued by the respondent with this form. If you do not do so your application may be delayed or not be admitted.

You MUST also send a copy of this Reference notice to the respondent.

The office will let you know when they have received this form. Contact the office if you are not told within a week that the form has been received.